

NEW HAMPSHIRE **RECORDS MANAGEMENT PROGRAM**

at the

New Hampshire State Archives

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NH State Archives

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State Records Manager

The Records Management Program

1. The Retention Schedule

The Retention Schedule is the heart of the management program at the NH State Archives. The purpose of the schedule is to define the types of records ("records series" or "records group") that will be transferred to the Records Center. It also sets a schedule for how soon the records may be sent by the agency to the Records Center, and how long this repository will keep the records. The total of how long the Agency keeps the records and how long the Records Center keeps the records should total AT LEAST the minimum legal/fiscal/historical need for the records. When there is a specific need, a record may be kept longer than the scheduled retention, but a written explanation is filed with the Records Center with a reason for the longer retention and an indication of the records may again be considered for disposal.

While the schedule should cover all agencies whether they use the Records Center or not, the Records Center has never had enough staff to allow the establishment and updating a schedule covering ALL state records. At the moment, only those records sent to the Records Center are included in the State Retention Schedule. The schedule is set by agreement with the agency desiring to store records and the Record Center.

New Hampshire Division of Records Management & Archives					
RECORDS RETENTION AUTHORIZATION					
Department: _____		Division: _____			
Item No.	Suffix No.	Record Description	Approved Retention		
			Office	Record Ctr	Total
<div style="display: flex; justify-content: space-between; margin-bottom: 10px;"> <div>Prepared By _____</div> <div>Signature _____</div> <div>Typed or printed name _____</div> <div>Date Signed _____</div> <div>Tele _____</div> </div> <div style="display: flex; justify-content: space-between; margin-bottom: 10px;"> <div>Approved By _____</div> <div>Signature _____</div> <div>Typed or printed name _____</div> <div>Title _____</div> <div>Date Signed _____</div> </div> <div style="display: flex; justify-content: space-between; margin-bottom: 10px;"> <div>Approved by State Records Manager _____</div> <div>Signature _____</div> <div>Date _____</div> </div>					
Approval to begin transfer to Records _____					

[Exhibit 1a: Records Retention Authorization Form]

New Hampshire Division of Records Management & Archives					
RECORDS RETENTION AUTHORIZATION					
Department: <u>Commission (077)</u>			Division: <u>Enforcement (02)</u>		
Item No.	Suffix No.	Record Description	Approved Retention		
			Office	Record Ctr	Total
01	02*	Direct Shipping Records	2	5	7
01	03	Miscellaneous	1	--	1

Prepared By	_____	_____	_____	_____
	Signature	Typed or printed name	Date Signed	Telep

Approved By	_____	_____	_____	_____
	Signature	Typed or printed name	Title	Date Signed

Approved by State Records Manager	_____	_____
	Signature	Date

Approval to begin transfer to Records	_____	_____
	Director/State Archivist	Date

[Exhibit 1b: Records Retention Authorization Sample Form]

The schedule begins by the agency staff listing the types of records they create and the reason for (or purpose of) that record. This should be quite specific, listing form numbers, etc. Abbreviations should NOT be used.

Using the list, the agency and records management staff need to research the state and federal statutes, and administrative rules to determine if any of the listed record series have mandated retention schedules. Most do not. For those series without mandated retention, two methods are used: 1) agency experience, and 2) similar situations. The experience of the agency personnel in how long the record series is used for any reason probably shows the natural longevity of the series. Considering how often the agency needs records of a certain age will probably show the retention schedule.

For example, in a given period (week, month, year, etc), an agency requests records with the following ages:

- 70 records requested in the last week,
- 55 records 2-4 weeks old,
- 40 records 4-52 weeks old,
- 18 records 1-2 years old,
- 5 records 2-3 years old,
- 2 records 3-4 years old,
- 1 record 4-5 years old,

no records older than 5 years.

In this example, the natural retention schedule may be 5 years, though probably even 4 years would be acceptable. RSA 5:38 authorizes agencies to use retention schedules of 4 years, unless there is an overriding need for shorter or longer schedules. The second method would be to ask other state or federal agencies handling similar record series what they use for a schedule. These two methods can be used jointly to balance each other.

State of New Hampshire Retention Schedule					
<i>DivisionItem Type</i>	<i>Retention Code</i>	<i>Description</i>	<i>In office</i>	<i>Total</i>	
029-01		Securities General Records			
	<i>029-01-01</i>	<i>General Records</i>			
	029-01-01-01	Applications & Correspondence:	2	7	S
	029-01-01-02	Application for License: Blue Sky	6	6	S
	029-01-01-03	Applications, Investment Trust	2	7	S
	029-01-01-04	Correspondence: Blue Sky, Misc.	2	7	S
	029-01-01-05	Investment Trust Documents	2	7	S

[Exhibit 2: Sample Retention Schedule]

The Retention schedule is currently maintained on a database and lists nearly 2600 records types.

2. Issuing Box Labels

At the appropriate time in the retention schedule, the agency will need to estimate the number of box spaces needed to transfer eligible records to the Records Center. Two boxes hold a little more than one file cabinet drawer. Legal sized files (8.5x14) will require three boxes. The agency will then contact the Records Manager and communicate how many boxes are needed. The Records Center staff will issue box labels. The agency should purchase Paige Miracle Box No. 15 from the Correctional Industries at the New Hampshire State Prison. Any unused labels should be returned to the Records Center.

The box number is a unique identifier. The label with that number should be affixed to the lower left corner of the forward end of the box (in other words, the file folders should be placed in the box so that that folder labels face the end where the box label is attached at the lower left corner). In the case where Legal sized folders (14 inch folders), the folder labels should face the left side of the box. There should be no writing on the outside of the box, and boxes should not be sealed with tape.

3. Transferring Box of Records

Once the agency has the boxes and labels, it is able to proceed to put the inactive records into the boxes. As the agency staff does this, they should keep a list of which files are in which boxes. PLEASE NOTE: "inactive files" are files which are needed occasionally. Any files that are used frequently should NOT be sent to the Records Center.

If the agency maintains a database or index system of their files, the contents of the box may be simply a range: for example, a portion of the alphabet, or range of file numbers. Filing chronologically is not as effective a method, but in rare cases, may be acceptable. If the transfer list that will accompany the boxes is the sole index, EVERY FILE in the box must be listed.

Once the boxes are packed, the agency staff will fill out form RM-120 (Transfer List). This form is a triplicate carbon form, with several spaces to be filled in by the agency. The Records Center accepts the same form created on computers (a single printout must be submitted to the Records Manager) and has a Microsoft Word template.

RECORDS TRANSFER LIST State of New Hampshire			FROM AGENCY	TRANSFER LIST NO.
			DIVISION	DATE
			AGENCY NO.	DIVISION NO.
		PAGE		OF
BOX NO.	ITEM NO. & SUFFIX	LINE NO.	RECORD TITLE AND RANGE (ALPHA-NUMERIC)	YEARS COVERED
			<div>Start listings near margin – USE NOT MORE THAN 50 CHARACTERS</div>	

SHELVED BY	DATE	FORWARDED BY	TITLE	DATE
NUMBER OF CUBIC FEET	SHIPPED TO RECORD CENTER VIA			
POSTED BY	DATE	RECEIVED BY	TITLE	DATE

[See exhibit 3: RM-120, Transfer List Form]

When the transfer list is complete, the agency should email, fax, or messenger mail the completed list (multiple pages, if they are needed) to the Records Center for entry on the Records Center database. The arrival of the transfer list signals the Records Center staff that the agency is prepared to have the boxes of records picked up, and schedules that pickup by Records Center staff.

[a box number followed by "-W" indicates the box is stored at the Main Street Warehouse, and "-K" indicates the box was once stored in the Kent Building],

The transfer list is used to add the information about the records to the "agency inventory" maintained on the Records Center database. There are now approximately 75,000 records on the database to manage the 60,000 current boxes. The database registers the existence, box number, location, brief content description, date of records, and date of disposal eligibility as well as the transfer list number (assigned by the Records Center staff on receipt) and date of the transfer list.

Retention Types are shown by the following codes:

- C CHECK box to identify contents
- D Due for destruction (no longer used)
- E Contents of the box have been archivally processed, and the box no longer exists as an entity (the records should be found using Archives finding aids)
- F records must be microfilmed before destruction
- K Box was kept by the agency and not transferred to the Records Center
- L Records must be preserved until Legislat. Budget Admin., or other recognized, audit
- M MOVED TO [gives new box number or location]
- N NOT on shelf (location of records is not known)
- O Obsolete retention Schedule – no new records accepted under this code
- P Permanent
- R RETURNED to agency permanently, in leau of destruction
- S “Scheduled”, meaning that eventually the contents of the box will be disposed
- U Unidentified, optional, or varied retention schedule according to the needs of the

Agency

- X records were destroyed

Division Inventory with Locator

Department	Retention Code	End Date	Contents of Box	Alt #	Box #	T/L	Loc
080-01-01-01	Miscellaneous						
		12/31/1977	FINANCIAL RECORDS	502091	502091	3568	502-09
		12/31/1977	FINANCIAL RECORDS	502101	502101	3568	502-10
		12/31/1978	FINANCIAL RECORDS	502093	502093	3568	502-09
		12/31/1979	FINANCIAL RECORDS	502083	502083	0	502-08
		12/31/1979	FINANCIAL RECORDS	502102	502102	3568	502-10
		12/31/1980	FINANCIAL RECORDS	502082	502082	3568	502-08
080-01-05-01	Correspondence						
				502114	502114	0	
		12/31/1975	TRANSPORTATION HUB	502081	502081	3568	502-08
		12/31/1976	RADIO -- ICC	502132	502132	3568	502-13
		12/31/1977	MISC TRANSPORT -- US	502131	502131	3568	502-13
		12/31/1977	URSA	502104	502104	3568	502-10
		12/31/1978	B&M LEGAL -- FEDERAL	502123	502123	3568	502-12
		12/31/1978	VALENTINE MAT --	502124	502124	3568	502-12
		12/31/1979	BUDGETS -- STAFF	502112	502112	3568	502-11
		12/31/1979	FRA CORRESP --	502113	502113	3568	502-11
		12/31/1979	URSA	502111	502111	3568	502-11
		12/31/1980	CONSULTANTS -- FRA	502121	1172676	3568	
		12/31/1980	GOV SALMON	502122	1172677	3568	
		12/31/1980	SHAINÉ	502103	1172675	3568	
		12/31/1981	RAIL REHAB	502092	502092	0	502-09

Key:

End Date: last date any of the files were closed, or completed.

Alt Box#: old box number

Box #: currently valid box number

T/L: Number of Transfer List covering that box

Locator: where the box is currently stored (subject to unannounced change)

[Exhibit 4: Agency Inventory]

The records which are transferred to the Records Center remain the responsibility of the agency which created them. The Records Center is only the custodian of the boxes. All public requests for information are referred to the creating agency, which is expected to request the files and then share the information with the public. This is done for reasons both of confidentiality (in many cases) and professional expertise (inability to answer questions about the records). Exceptions to this policy must be clearly authorized in advance in writing (faxes are accepted) stipulating the name of the authorizing staff member, the name of the person allowed to review the file and which file they are authorized to use ("use" includes viewing, and photocopying all records in the file).

4. Recalling Records

When the agency needs a file that has been "archived" (actually, sent to the Records Center), they need to notify the Records Center. The current preferred method of notice is a fax. There is presently no required form for requesting files. The request must give the following information:

- a. the name and delivery address of the agency requesting the file (they may only request their own files, if they need the file of another agency, THAT agency must request the file and send it to the agency who needs it);
- b. the name and phone number of the person requesting the file (MOST agencies have one or two authorized people who request files for all agency staff [these people are occasionally known as "record custodians"]);
- c. the name, number or identification of the file needed (specify "entire box", if desired);
- d. the box number where the file is stored;
- e. the date of the request;
- f. agency, division, item & suffix codes
(these codes are the four elements that make up the "retention code");
- g. any special instructions or comments.

Record Request Form

Requestor Completes first section:

Name of Requestor: _____
 Name of Requestor's Department: _____
 Department Code: _____ Division Code: _____
 Name of Requestor's Program: _____
 Physical location of Requestor: _____
 Phone number of Requestor: _____

File Name: _____
 Supplementary file name/number: _____
 Year file was closed: _____ Box Number: _____
 Transfer List Number: _____

Archives Use Only:

Not Found

Reason:

[Exhibit 5: Request Form]

When received at the Records Center, the request is entered on the database, and a sheet is printed to direct Records Center staff to the file the agency needs. The sheet is left in the box where the file was found as a marker of where the file will be replaced when returned to the Records Center. When the file is removed from the box, the records clerk marks the box number, the agency, and requestor's name on the file and attaches a folder barcode label to facilitate accurate delivery and refiling when the file is returned. If the file can not be found, the reason is noted on the sheet and sent to the requestor of the file. NOTE: "N.F." means "not found".

5. Disposal of Records

The Record Manager will annually prepare a disposal list for each agency. The Records Center staff uses the "agency inventory" [mentioned above under **"3. Transferring Boxes of Records"**] to query, sort and print the disposal list. The list is addressed to a responsible person, often the records custodian, or the administrator or director of the office. The disposal list is sent to the agency, and should be reviewed by responsible staff, and signed to approve of the disposal. Any exceptions to disposal must be requested in writing, showing compelling need to keep the records, and a proposed new disposal date for that record. All records due for disposal, but lacking authorization for disposal will be returned to the agency permanently after a reasonable time has elapsed.

After a box of records has been destroyed under the agency authorization, the Records Center staff enters a reference to the authorization, the date and method of disposal on the database. The box number will not be used again. Disposal of an agency's records does not mean the agency has a priory to the space made vacant.

State of New Hampshire
Department of State
Division of Records Management & Archives

71 South Fruit Street
Concord, New Hampshire 03301-2410
(603) 271-2236 (fax) 271-2272

Commissioner
xxxxxxxxxx Commission
50 xxxxx Street
Concord, NH 03301

xxxxxx Commission (077-02)

Dear Commissioner:

I am attaching a list of boxes, which are eligible for disposal at this time. The Retention Schedule for these four boxes requires that the contents be microfilmed before the originals are destroyed. Three of the four boxes have already been filmed by our staff, and the fourth box is in the process of being filmed. We would appreciate it if you would please sign (or have an authorized representative of your Division sign) below and initial the sheet with the list. Then return the entire list to Records & Archives, to authorize us to destroy the records listed (once we have met the microfilming condition). If records listed here must be retained, I need a letter explaining the necessity and a new disposal date.

Sincerely,

Brian Nelson Burford
State Records Manager
bburford@sos.state.nh.us

I, _____, hereby authorize the disposal of the records listed above according to the appropriate Retention Schedule for those records.

Signature

Date

TO BE COMPLETED BY ARCHIVES STAFF

_____ (quantity) records disposed _____, 2001 by _____

(method). Signed _____

[Exhibit 6: Sample of Disposal List Cover Letter]

[Exhibit 6a: Sample of a Disposal List Cover Letter]

2002 Division Destruction Report for:

Cxxxxxxxx Cxxxxxxxxs

023-04-01-01

Applications & Orders, Motor

Alt Box #	Box #	Locator	Description	To Date	Disp Date	TL #
174091	174091	174-09	Acworth -- Northwood	12/31/1901	12/31/1908	4332
178152	178152	178-15	Nottingham -- Unity	12/31/1901	12/31/1908	4332
431114	1172605		CAROL'S -- FOX TRANS	12/31/1987	12/31/1994	5466
431121	1172606		FRALLEY & S -- LANDRY & R	12/31/1987	12/31/1994	5466
431113	1172604		ICC FORM B's: A&A -- CAROL	12/31/1987	12/31/1994	5466
431122	1172607		LANDRY, D -- PLYMOUTH	12/31/1987	12/31/1994	5466
431123	1172608		POE BROS -- TOZIER	12/31/1987	12/31/1994	5466
688043	688043	688-04	LOTU BINGO STAMP	12/31/1993	12/31/2000	7396
688041	688041	688-04	TRANSMITTALS A -- L	12/31/1991	12/31/1998	7396
688042	688042	688-04	TRANSMITTALS M -- Z	12/31/1993	12/31/2000	7396

Grand Total

10

[Exhibit 6b: Sample of Disposal Report]

6. Transfer of Records To ARCHIVES

At the present time, this "transfer" to the Archives (same building as the Records Center) is an informal process done at any time thought appropriate by the State Archivist and Records Manager. Some states require this to be a formal process, indicating when the creating agency loses control over the records, and the Archives assumes the responsibility for them. They become open to public use at the Archives at this time.

7. General Records Destruction Notification

The above process is designed for your agency program records (e.g., documenting the program your agency administers). General, or administrative, records created by your agency which document the administrative details fall under the General Records Destruction Notification. This notice is issued every January by the State Archives to advise agencies to eliminate unnecessary records such as old budget documents, receipts, personnel and travel forms, disbursements, outdated contractual records, etc. The [General Records Destruction Notification](http://www.state.nh.us/state/destruction.pdf) is found on-line at <http://www.state.nh.us/state/destruction.pdf>.

The Paper Forms Presently Used

Electronic versions of these forms are acceptable, and generally available on request as a Microsoft Word templates from the Archives.

1. Records Retention Authorization form
2. The Retention Schedule
3. RM 120: Transfer List
4. Request Forms
5. Agency Inventory
6. Disposal List

Questions should be addressed to:

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Revisions:

04/22/1998	bnb	
04/24/1998	bnb	box address [incl W&K], title page & "contents", box status codes, reuse of spaces
08/19/1998	bnb	convert to Word document, add frames, add section on general records destruction
05/22/2002	alb	add examples as hyperlinks, edit text
12/31/2003	bnb	add illustrations

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